



State of Montana

Agency IT Plan

Instructions

Fiscal Year 2012-2017

January 2012

Should you have any questions or comments regarding this template, or desire additional copies, please contact:

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INFORMATION TECHNOLOGY SERVICES DIVISION

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INTRODUCTION

The Montana Information Technology Act (MITA - the Act) requires each state agency to develop and maintain an agency information technology plan (hereafter known as the agency's IT Plan) that establishes agency mission, goals and objectives for the development and use of information technology, and provides a description about how each agency intends to participate in meeting the goals of the 2012 State of Montana Strategic Plan for IT. MITA defines an agency as any entity of the executive branch, including the university system.

Each Agency IT Plan belongs to the individual agency that develops the plan. However, MITA requirements mandate the need to collect common IT information from all agencies. As a result, each agency is required to develop and deliver their plan in a consistent format, with specified content, based upon the information requirements derived from MITA.

In addition, agency IT procurement actions will be validated based upon the IT- related information in each agency's IT Plan. SITSD may deny procurement requests if not adequately documented in the agency IT Plan.

MITA requires the development of Agency IT Plans every two years, and each agency plan must project major activities and costs over a 6-year time period, consisting of the biennium in which the plan is written and the two subsequent biennia. This results in a "sliding planning period" that is updated with each agency's biennial IT plan. New investments in information technology can only be included in the governor's budget if the proposed investment is reflected in an approved agency plan.

The planning period for the current plan is FY2012 through FY2017; and the IT plan required in FY2012 reflects the current update.

As a separate but related effort, the state must also produce a biennial performance report based on agencies' evaluation of their progress in implementing their IT plans from the previous biennium. This report provides an analysis of the state's IT infrastructure (value, condition, and capacity), an evaluation of the performance of the state's IT capabilities, and an assessment of progress made toward implementing the State Strategic Plan for IT during the previous biennium. Because strategic planning and reporting are closely related, and because each Agency IT Plan and biennial report are updates to existing plans and activities, agencies will provide detailed information of their IT environment in this planning cycle.

RELEVANT INFORMATION

The following information is pertinent to the development of the updated Agency IT Plan. We suggest that each agency review it in preparation for completing their IT plan.

- Your current agency strategic business plan and previous Agency IT Plan updates.
- IT policies are located at: <http://itsd.mt.gov/policy/policies/Planning/planning.mcpx>
- IT software standards are located at <http://itsd.mt.gov/policy/software/default.mcpx>
- Information Technology Act (2-17-501 through 527, MCA).
- A draft copy of the 2012 State of Montana Strategic Plan for IT is located at: <http://itsd.mt.gov/stratplan/statewide/default.mcpx>
- Relevant Legislation
- Security Related Technologies
- Both the SITSD-supplied Agency IT Plan template and the instruction manual for filling out the template can be found on the following web page: <http://itsd.mt.gov/stratplan/default.mcpx>
- The Enterprise Inventory application is located at <http://mine.mt.gov/EnterpriseITInventory/>

GENERAL PLANNING POINTS

1. The agency plan should reflect an update of the six-year projection of information technology implementation planning.
2. The agency plan should reflect tactical implementation of information technologies, and not day-to-day operations.
3. The agency plan should provide relevant information to support the agency Budget Requests and to allow budget analysts to make informed decisions. The MITA Act requires the Department of Administration coordinate with the Office of Budget and Program Planning on agency IT budgets with respect to the 2012 State of Montana Strategic Plan for Information Technology.
4. Agency plans should provide information technology planning information. This will be valuable for prioritizing statewide technology projects.

SUGGESTED PREPARATION FOR IT PLANNING

Each agency is encouraged to perform the following actions in preparation and development of the Agency IT Plan:

1. Establish the development of the Agency IT Plan as a formal *project, with a project plan*. Establish the planning team, leader, and timetable.
2. Review the recommended documentation.
3. Review agency mission, goals, and objectives.
4. Identify social, technological, economic, and political trends that affect the agency and its IT systems and organization.
5. Review current business processes and evaluate whether they are adequate.
6. Assess whether the current IT systems and staff satisfy agency requirements.

SUGGESTED STEPS FOR WRITING THE PLAN

1. Review/update an IT mission and vision for supporting the agency.
2. Identify areas for improvement.

3. Review/update goal statements that define the agency's direction for technology.
4. Review/update strategies that will move the agency toward the IT goals. Special IT projects that support the agency's IT goals and objectives are identified as initiatives. Evaluate and prioritize these initiatives.
5. Estimate the resources and budgets necessary to implement the updated strategies and initiatives.
6. The last step is to write the Executive Summary of your agency's IT Plan.

AGENCY TEMPLATE SUBMISSION

After the Agency IT Plan is complete, transfer the information to the Agency Template and submit the Template to SITSD (itpolicy@mt.gov). You may submit your agency IT Plan early if it is complete. Include a transmittal letter from your agency head containing the following wording:

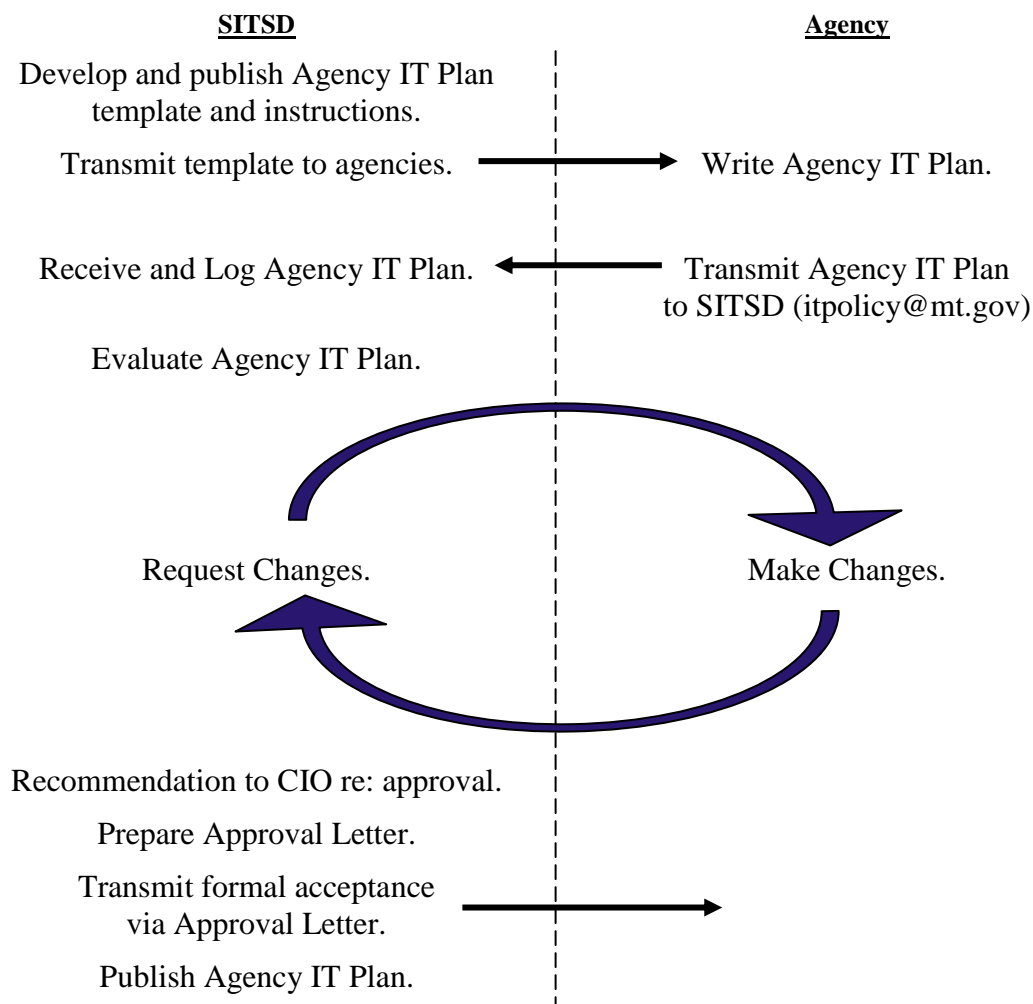
Pursuant to the Information Technology Act of 2001, the [entity name] presents its plan for information technology for the period July 2012 through June 2017. This plan represents the Information Technology goals, objectives, and strategies of the [entity name] and has been reviewed and approved by _____, agency head.

IT PLANNING TIMETABLE

January 10 2012	SITSD publishes Agency IT Plan Template and instructions.
10 January – 16 April 2012	Agency IT Plan development.
January 2012 TBD	SITSD conducts training on Agency IT Plan Template.
March 1 2012	SITSD submits the 2012 State Strategic Plan for IT to Governor and Legislative Finance Committee.
March 15 2012	SITSD publishes Agency IT Initiative Supplement documents and instructions.
April 1 2012	2012 State Strategic Plan for IT published.
April 16 2012	Agency IT Plans due to SITSD.
16 April – 31 May 2012	SITSD reviews Agency IT Plans, obtains clarifications, and requests changes
May 7 2012	Agency IT Initiative Supplements due to SITSD.
May 31 2012	SITSD recommendation to the CIO for approval of Agency IT Plans. (This is the deadline; each recommendation is due no later than 60 days after receipt of an Agency IT Plan.)
June 30 2012	Final day for SITSD to approve Agency IT Plans (pending receipt of IT Initiative Supplements).
June - August 2012	The Agency IT Initiative Supplements will be reviewed by SITSD in coordination with OBPP. The Agency IT Initiative Supplements will be appended to the Agency IT Plan upon approval by OBPP.
November 15 2012	Office of Budget and Programming Planning and SITSD submit a summary of major new IT projects to Governor's Office, and for legislators' consideration.

SUBMISSION/APPROVAL PROCESS

The development and approval by the State CIO of an agency's IT Plan follows a set process depicted below.



IT PLAN INSTRUCTIONS FOR THE FY2012-FY2017 TEMPLATE

There are three files available to the agencies in support of this agency IT planning effort:

1. This Microsoft Word document (entitled **2012 – 2017 Agency IT Plan Instructions**), which contains the styles and formatting for the IT Plans, plus instructions for usage and content.
2. A Microsoft Word template (entitled **2012- 2017 Agency IT Plan Template**), which contains the styles and formatting for the IT Plan, but does not include instructions found in this document.
3. The Enterprise IT Inventory database, accessible from the MINE Portal. See Section 8 of this document for detailed information on the database.

This **2012 - 2017 Agency IT Plan Instructions** document provides the common template for each agency's plan, and instructions for usage and specific content.

This instruction document consists of three general parts: Introductory and logistical information in the front of the document, detailed instructions mapped to the **2012 – 2017 Agency IT Plan Template** in the center of the document, and in the appendix, sample forms used by SITSD to support plan evaluation.

The instructions part uses “call outs” containing detailed instructions. These are used to guide the reader in filling out content within the template. This part of the instruction document maps directly to the separate **2012 - 2017 Agency IT Plan Template**. In addition, the instruction and template documents contain blank “tables” in several areas designed for the agency to insert the content. The agency’s detailed planning information is to be entered into the tables. These tables may be duplicated within the sections to accommodate additional entries.

The agencies are welcome to revise the style of the template as long as the sections, numbering, and content guidelines are retained.

Sections within the template are expandable. Feel free to expand each section and enter as much information as you deem relevant under each section. Also, you may need to add more elements under certain sections of the template, depending upon your agency’s needs.

For example, Section 4.1 Goals and Objectives provide you with space for two goals and their associated supporting objectives. You should expand this section to contain as many goals and objectives as you require.

EXECUTIVE SUMMARY

One of the most important parts of the Agency IT Plan is the Executive Summary. An Executive Summary is usually the first thing read and analyzed, so it's a very important part of your plan.

Inclusion of the Executive Summary is required in the 2012 – 2017 Agency IT Plan submitted to SITSD.

WHAT SHOULD AN EXECUTIVE SUMMARY INCLUDE?

Your executive summary should be no more than a page or two and it should summarize all the other sections of your plan. It is an overview of the main points of the 2012 – 2017 Agency IT plan. It should include information about the issues facing your IT Services delivery capability, significant initiatives, and brief summaries of other important sections.

WHEN SHOULD AN EXECUTIVE SUMMARY BE WRITTEN?

It should be the last thing you write in your 2012 – 2017 Agency IT Plan, even though it's usually the first thing read by others. Its concise length and summary format will enable the reader to quickly understand what you plan to do with your IT business.

The citizens of Montana and your key clients are busy people, if their interest is not piqued at the start they will not continue to read your plan. The plan initiates the cycle of education and support for fulfilling the agency IT vision. Generating interest and further readership will serve to engage your key stakeholders.

SECTION 1: AGENCY ADMINISTRATIVE INFORMATION

Agency Name:

Role: Plan Owner

Name:

Telephone Number:

Email Address:

Role: IT Contact

Name:

Telephone Number:

Email Address:

List the IT plan's responsible contact persons, telephone numbers, and email addresses in the appropriate role category.

Role: IT Contact (Alternate)

Name:

Telephone Number:

Email Address:

Role: Information Security Manager (ISM)

Name:

Telephone Number:

Email Address:

IT Inventory

As part of the Agency IT Plan process, please review and update the Enterprise IT Inventory information for your agency. This web facility was recently used to collect information as part of the biennial reporting cycle. The data that you entered the last time you updated this database for your agency still resides within the application; therefore, this portion of the planning cycle will be more of a review and update of that information. Each agency should update their IT Inventory no later than June 30, 2012. This will represent a point-in-time "snap shot" of the inventory information as of that date and will provide a baseline and trending information about the enterprise. Additionally, this information will be made available to all agencies to improve enterprise-wide communication and coordination.

Please note that all agencies will be required to update this information on an annual basis to support the IT Planning and Biennial Reporting cycles.

The URL for the inventory can be found at the following location:

<http://mine.mt.gov/EnterpriseITInventory/>

If you have forgotten your security ID and Password required to access the online inventory system, please open a ticket with the Service Desk (<http://servicedesk.mt.gov>) at x2000, or alternatively email itpolicy@mt.gov.

SECTION 2: AGENCY IT MISSION

Agency IT Mission Statement

Describe the agency's IT mission.

SECTION 3: AGENCY REQUIRED PROGRAMS

Information Risk Management Program (IRMP) General Description

<The department name has implemented a department-wide (agency) information security management program compliant with §2-15-114, MCA and State Information Technology Systems Division *Information Security Programs* policy with adoption of the National Institute of Standards and Technology (NIST) Special Publication 800 series as guides for establishing appropriate security procedures. This is in alignment with the State of Information Technology Service's direction for an enterprise security program to protect sensitive and critical information being housed and shared on State and/or external/commercial information assets or systems.

As described in NIST SP 800-39, the agency has developed the Information Risk Management Strategy to guide the agency through information security lifecycle and application of risk management. This structure provides a programmatic approach to reducing the risk to an acceptable level while ensuring legal and regulatory mandates are met in accordance with

The agency's program has four components, which they are as follows:

- Risk Frame – Establishes the context
- Risk Assessment – Addresses how the identifying threats, harm, impact, vulnerability
- Risk Response – Addresses how the the results of the risk assessment; e.g.
- Risk Monitoring – Addresses how the outcomes?"

The agency's information security management funding. While alternatives are reviewed and constantly challenged by the ever changing technology structure changes. Specific vulnerabilities have personnel positions (funds increase), and are a

Under the "... General Description" section we are looking for a brief description or executive summary of your required programs; Information Security Management Program as it relates to sensitive information which may involve Continuity of Operations (COOP) and sensitive information found in the Records Management Program as managed by the Secretary of State office. Provide a top level perspective of the key components of your security program. Conclude this section with a short paragraph that describes challenges or possibly barriers to implementation or continued management of this program.

The text provided in this section is an example and can be used as presented by entering your Department name or with edits as needed to appropriately represent your program. This example represents the components and context we're looking for in this section.

Future Security Program Plans

<Over this strategic period we plan to develop and implement ...>

Under the "Future ..." section outline your program plan for the next two budget periods that will require funding. Provide in this section a description of the requirement, brief justification statement, estimated cost, and impact if no funding is provided for this requirement.

SECTION 4: AGENCY IT PLAN – GOALS & OBJECTIVES

- Goals and objectives represent brief descriptions of what your agency plans to accomplish.
- This is not where you list your IT initiatives. You will do that in section 5.
- IT Initiatives represent special projects that you propose to support one or more of your goals or objectives.

Goal Number 1:

ITG 1 <Title>

Description:

Benefits: What benefits are realized and who realizes the benefits?

Which state strategic goal(s) and/or objective(s) does your goal address?

Supporting Objective/Action

ITO 1-1 <Title>

Describe the business requirements or business problem driving the objective.

Describe the benefits to be derived from the successful completion of this objective.

Describe the anticipated risks associated with this objective. (e.g., completing this objective; risks associated with completing this objective; completion of this objective:

What is the timeframe for completion of this objective:

Describe the critical success factors associated with this objective been successfully completed?

Supporting Objective/Action

ITO 1-2 <Title>

Describe the business requirements or business problem driving the objective.

Describe the benefits to be derived from the successful completion of this objective.

Describe the anticipated risks associated with this objective: (e.g., completing this objective; risks associated with completing this objective; completion of this objective:

What is the timeframe for completion of this objective:

Describe the critical success factors associated with this objective been successfully completed?

- Briefly describe your agency's IT goals and objectives for the FY2012 – FY2017 period. Short answers are ok. At this point, we're talking about conceptualization of the goal and objectives.
- Your IT goals and objective should support an identified business goal of your agency.
- For each of your goals, indicate which State Strategic Plan Goal or Objective it addresses. See a draft of the 2012 State Strategic Plan for IT at <http://itsd.mt.gov/stratplan/statewide/default.mcpx>
- Each of your IT goals and its associated objectives and measures should be uniquely identified and numbered sequentially.
- This is not where you list your IT initiatives. You will do that in section 5.
- Goals and objectives represent brief descriptions of what your agency plans to accomplish.
- Initiatives represent special projects that you propose to support one or more of your goals or objectives.

Goal Number 2:

ITG 2 <Title>

Description:

Benefits: What benefits are realized and who realizes the benefits?

Which state strategic goal(s) and/or objective(s) does your goal address?

Supporting Objective/Action

ITO 2-1 <Title>

Describe the business requirements or business problem driving this objective.

Describe the benefits to be derived from the successful completion of this objective.

Describe the anticipated risks associated with this objective: (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).

What is the timeframe for completion of this objective?

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?

Supporting Objective/Action

ITO 2-2 <Title>

Describe the business requirements or business problem driving this objective.

Describe the benefits to be derived from the successful completion of this objective.

Describe the anticipated risks associated with this objective: . (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).

What is the timeframe for completion of this objective?

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?

(Copy and paste the above format here to describe additional IT goals and objectives.)

Briefly describe significant IT initiatives to take place during the following biennia. Provide a brief narrative description of each initiative. Indicate which of your IT goals or objectives identified in Section 4 is supported by each IT initiative.

List each initiative sequentially in agency priority order and describe the initiatives with the first item listed having the highest priority. Also, indicate which of your agency's IT goals and/or objectives each Initiative supports. Provide information listed in this sub-section 5 for ***each*** initiative; i.e., if the agency has five initiatives, then the agency IT plan should have five sub-sections identical in format with sub-section 5.

An IT initiative is one or more projects or a change that satisfies at least one of the following conditions:

- An EPP items for IT spends.
- A budget of \$500,000 or more, whether or not it is an EPP item. The \$500,000 budget is the sum of all grants, current operating budget expenses, new budget allocations, special fees, and other sources of funds and includes costs associated with internal builds.
- A budget of \$100,000 or more and also comprises 25% or more of the agency's IT budget, whether or not it is an EPP item.

Describe what your estimated spending is made up of; e.g., purchases, consulting services, internal labor costs, etc.

SECTION 5: IT INITIATIVES (FY2012 – FY 2017)

Initiatives represent special projects that you propose to support one or more of your IT goals or objectives that you identified in Section 4.

In addition to completing this section 5, agencies will be required to complete an Agency IT Plan: Initiative Supplement for **each** initiative identified in this section. These supplement documents are due to SITSD on May 7th. The Supplements will be appended to the agency's IT plan at that time. Note: Agencies may find it helpful to use the Supplement(s) when entering EPP items into MBARS.

Initiative 1 <Title>
Description: <>
EPP Number (if applicable)

Initiative 2 <Title>
Description: <>
EPP Number (if applicable)

Initiative 3 <Title>
Description: <>
EPP Number (if applicable)

Initiative 4 <Title>
Description: <>
EPP Number (if applicable)

Initiative 5 <Title>
Description: <>
EPP Number (if applicable)

(Copy and paste the above form

MCA 2-17-523-(3) requires that all new investments in information technology can be included in the governor's budget only if the project is contained in the approved agency information technology plan. New investments are not limited to new budget requests, they also include IT investments funded from existing budgets.

The initiatives information you list in Section 5 will be used by the Department of Administration (DOA) to:

- Coordinate and evaluate IT budget requests with the Office of Budget and Program Planning (OBPP) as required by MCA 2-17-512 (g).
- Compile an IT project budget summary required by MCA 2-17-526.

DOA will only recommend new IT investments if they are included in the agency's IT plan. DOA will only approve IT procurement requests (ITPRs) for new investments when they are included in the agency's IT plan. In addition, an agency IT plan must be amended prior to obtaining DOA approval for a newly identified IT project.

SECTION 6: ENTERPRISE ALIGNMENT

Communities of Interest Participation

Government Services

Public Safety

Human Resources

Environmental

Education

Economic

Cultural Affairs

Finance

Please indicate how your agency intends to participate or cooperate in these collaborative and sharing efforts. Place a checkmark beside each of the Communities of Interest in which you will participate.

Also, provide a brief explanation for how you will participate.

You can find the entire 2012 State Strategic Plan for IT containing the state's strategic IT goals and objectives at: <http://itsd.mt.gov/stratplan/statewide/default.mcp.x>

SECTION 7: PLANNED AGENCY IT EXPENDITURES

<u>Expense Category</u>	<u>FY2012</u>		<u>FY2013</u>		<u>FY2014</u>		<u>FY2015</u>		<u>FY2016</u>		<u>FY2017</u>
Personal Services											
Operating Expenses											
Initiatives											
Other expenditures											
Totals	0		0		0		0		0		0

Each agency should use its best judgment to identify IT expenditures for the six fiscal periods listed. Include all agency IT expenditures, not just expenditures by the agency's central IT group.

Personal Services and Operating Expenses – Generally, this would be the budget for the agency's IT Division/central group which would include both personal service and non-personal service costs related to delivering IT services to of the agency. You should include any IT functions not included in the division or central IT group budget.

Initiatives - Generally, this would be those one-time-only or special budget expenditures for IT projects and systems/business process improvements.

Other Expenditures – List any other IT expenditures not included above along with an explanation.

For FY2012 you can access your year-to-date expenditures and project costs through year end via SABHRS, for FY2013 use budget amounts in MBARS, and for years FY14 -17 an agency should use its best judgment to identify planned expenditures.

You may also attach a separate SABHRS report or MBARS report containing this information.

Special Note: The Totals Row can be updated by right clicking in the cell and selecting Update Field.

SECTION 8: ADDITIONAL INFORMATION - OPTIONAL

Other types of information that support the agency's IT Plan. Some examples might include other COI participation, reference to other IT plans such as GIS plan, eGovernment plan, security plan, staffing issues and constraints, etc.